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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No. 4590-004

First Inventor or Application Identifier

Michael J. Cuttler

Title

SYSTEM AND METHOD FOR ACQUIRING AND ANALYZING  
PERSONAL HISTORY INFORMATION

Express Mail Label No.

EL446933659US

08/14/00  
09/06/00  
15/04 U.S. PTO

08/14/00

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ \*Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 38]  
(preferred arrangement set forth below)
  - Descriptive title to the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 35]
4. ☒ Oath or Declaration [Total Pages 1]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 17 completed)  
[Note Box 5 below]
  - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a  
copy of the oath or declaration is supplied under Box 4b,  
is considered as being part of the disclosure of the  
accompanying application and is hereby incorporated by  
reference therein.

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6. ☐ Microfiche Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & document(s))
9. ☐ 37 C.F.R. § 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS  
Citations
12. ☐ Preliminary Amendment
13. ☐ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
14. ☒ \*Small Entity ☐ Statement filed in prior application,  
Statement(s) Status still proper and desired
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Other: \_\_\_\_\_

\*NOTE FOR ITEMS 1 & 14: IN ORDER TO BE  
ENTITLED TO PAY SMALL ENTITY FEES, A SMALL  
ENTITY STATEMENT IS REQUIRED (37 C.F.R.  
§ 1.27), EXCEPT IF ONE FILED IN A PRIOR  
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17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary statement:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_ / \_\_\_\_\_  
Prior application information: Examiner: Group/Art Unit:

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Date 8-14-00

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**STATEMENT CLAIMING SMALL ENTITY STATUS**  
**(37 CFR 1.9(f) & 1.27(c))—SMALL BUSINESS CONCERN**

Docket Number (Optional)

4590-004

Applicant, Patentee, or Identifier: Law Enforcement Services, Inc.

Application or Patent No.: \_\_\_\_\_

Filed or Issued: \_\_\_\_\_

Title: SYSTEM AND METHOD FOR ACQUIRING AND ANALYZING PERSONAL HISTORY INFORMATION

I hereby state that I am

☐ the owner of the small business concern identified below:☒ an official of the small business concern empowered to act on behalf of the concern identified below:NAME OF SMALL BUSINESS CONCERN Law Enforcement Services, Inc.ADDRESS OF SMALL BUSINESS CONCERN 604 Green Valley Road, Suite 204Greensboro, North Carolina 27408

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

☒ the specification filed herewith with title as listed above.☐ the application identified above.☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

☒ no such person, concern, or organization exists.☐ each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Ellen B. CuttlerTITLE OF PERSON IF OTHER THAN OWNER PresidentADDRESS OF PERSON SIGNING 604 Green Valley Road, Suite 204, Greensboro, NC 27408SIGNATURE Ellen B. CuttlerDATE 8-10-00

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# SYSTEM AND METHOD FOR ACQUIRING AND ANALYZING PERSONAL HISTORY INFORMATION

5           The present invention relates to a computer-based system and method for acquiring and analyzing personal history information, particularly, personal history information for an applicant for law enforcement employment, and using the personal history information to predict specific negative job-related outcomes for such an applicant.

## 10                           BACKGROUND OF THE INVENTION

          In the case of “high risk” employment positions (particularly in law enforcement, public safety, and criminal justice professions), personal life history information forms the foundation for a comprehensive background investigation. The results of these investigations typically are used to evaluate the employment suitability of a given  
15       candidate. As such, the completion (by the applicant) of an instrument used to gather this history is the first step of most pre-employment background investigations.

          The complex personal history information that provides the basis for this background investigation must be organized, exhaustively investigated, and objectively evaluated. However, accurate, efficient and objective evaluation of background  
20       information can be difficult to accomplish because the data is lengthy, and the quality of available investigative resources is usually limited since applicant background investigations must, necessarily, receive lower organizational priority than urgent law enforcement investigations. Nonetheless, even when data is well organized, and adequate investigative resources (time, talent, and priority) are invested, it is still difficult to

objectively compare and evaluate these findings.

Biodata, as that term is used herein, are specific life events, sometimes referred to as critical items, derived from various personal history domains, such as employment, military, legal and substance use. The biodata for each personal history domain are then assigned numerical values. Scientific research has demonstrated that these values, considered in aggregate, are predictive of specific job dysfunctions in law enforcement officers (e.g. Sarchione, Cuttler, Muchinsky, and Nelson; 1998). Therefore, analyzing personal history data can be an effective means of evaluating applicants for employment. Acquiring this information in an accurate and efficient manner, however, is a tedious and often cumbersome process.

There are several ways to develop biodata from personal history questionnaires. One common way is to develop a series of objective questions (“true/false,” “yes/no,” multiple choice, and/or range-related questions), and assemble these items in a specific questionnaire that yields biodata scores. This is sometimes referred to as “objective scoring.” In contrast, some questionnaires use open-ended questions that require a descriptive answer (for example, “Compared to your peers, how well did you do in school?”) that is then scored by a reader. This is sometimes referred to as “subjective scoring.” Both approaches, however, have shortcomings in an employment selection setting.

Accurate derivation of biodata from an objectively scored questionnaire is dependent upon the applicant’s interpretation of a given question. Because of the applicants’ “response set” to negative life events, the applicant may misinterpret the meaning of a question. The term “response set” is a psychometric concept referring to the

“attitude” with which an individual completes a test, questionnaire, or screening instrument. It is generally accepted that the “response set” adopted by an employment applicant is reflected in what is called a “positive bias” towards description of life events, particularly if these events are negative. In other words, it is expected that employment applicants will attempt to portray themselves in as positive a light as possible in order to be viewed favorably in the selection process.

For example, an employment applicant might indicate “no” to the question “have you ever been fired, terminated, or asked to leave a job under negative circumstance”. However, upon interview he/she may state: “ I simply thought it was best to leave after my cash register came up short and the boss held me responsible.” In this case a biodata value for “job termination” should be calculated. However, based on the applicant’s response to an “objective” questionnaire, it would not be scored. Because of these phenomena, many objectively scored biodata instruments are found to be inaccurate upon interview and/or background investigation and are considered to be reliable only upon confirmation by personal interview. Hence, the utility of such objectively scored personal history questionnaires as an initial screener for large groups of applicants is limited.

Subjective scoring is less obvious to the applicant, and thus, less susceptible to response set biases, and also has the advantage of allowing the evaluator, rather than the applicant, to interpret specific events and assign biodata scoring points. In addition, researchers have typically found high levels of inter rater reliability when biodata is derived in this fashion. Unfortunately, this is also a rather tedious and time-consuming task. The information needed to make the fine distinctions necessary for accurate assignment of biodata values is usually spread out among several pages (sometimes,

several volumes) of personal history information, and occasionally important points are overlooked, rendering this approach less practical for large groups of applicants.

In addition, conventional biodata questionnaires have been constructed in a manner similar to psychological tests and, as such, have the same vulnerability to error.

5 These questionnaires are typically designed by identifying psychological constructs, such as cognitive abilities, personality traits, attitudes and values. These psychological constructs are thought to be predictive of job traits for a certain broad class of jobs (e.g., sales), such as conscientiousness, decision-making ability, interpersonal flexibility and empathy. Specific life history questions are then rationally linked by experts to these  
10 constructs. The resultant biodata values are then calculated in terms of scores on these constructs. Finally, the individual's suitability is described in terms of the degree to which his/her scores approximates those associated with good or bad job performance within a job classification.

Similar to psychological tests, the accuracy of these job performance predictions  
15 (based on psychological construct scores derived from biodata) are dependent on the degree to which the various constructs are predictive of the job-related outcome in question, as well as the degree to which the job in question is similar to the job for which the constructs were identified. Consequently, the accuracy of construct based biodata questionnaires suffers from the same sources of error as psychological tests. In addition,  
20 the questionnaire itself must be redesigned each time the critical components of a job change.

Finally, psychological tests, as well as biodata questionnaires linked to psychological constructs have been criticized as intrusive in regard to personal privacy.

Many of the specific test items contained in psychological tests have been challenged on the grounds of invasion of privacy. This can also be true when biodata questionnaires are administered separately from a background investigation.

## SUMMARY OF THE INVENTION

5           The present invention provides for a computer-based system and method, and computer software, for acquiring life history information from an applicant for law enforcement, criminal justice or public safety employment to minimize positive response bias and enhance the veracity of the acquired life history information. The life history information is used for conducting a conventional background investigation. The life history information is also used to predict a specific, negative, objective outcome, such as whether the applicant will complete training or whether, if hired, the applicant will receive formal disciplinary action.

10           A questionnaire engine presents the applicant with a collection of questions to elicit the life history information. Within each question collection, there are revealed stem questions and hidden branch questions. Depending on the applicant's response to the revealed stem question, the hidden branch question is revealed and the applicant's response to the hidden branch question is stored in a computer database. In one embodiment, the applicant cannot alter the stem question response after completion of the question collection.

15           A rules processing engine, comprised of a life events engine and a critical items engine, uses the life history information to predict an objective, negative job-related outcome. The life history information about the applicant is stored in a computer

database. The life events engine determines the existence of a plurality of predefined life events based on the life history information. A critical items engine identifies from the life events one or more negative indicators. A negative indicator is a life event that is linked to a specific, negative, objective job related outcome. The critical items engine also identifies one or more predefined critical items from the negative indicators. A critical item is a negative indicator that has been linked empirically to a specific, negative, job related outcome. Values are then assigned to each critical item, and based on these values, life event type indices are calculated for types of life events. A risk score is then calculated for each of the life event type indices. Finally, a prediction of a negative, objective job-related outcome is based on the risk scores.

These and other advantages and features that characterize the present invention are pointed out with particularity in the claims annexed hereto. For a better understanding of the invention and its advantages, reference should be made to the Drawings and the Detailed Description of the Preferred Embodiments, which also describe the manner of making and using the invention.

### **BRIEF DESCRIPTION OF THE DRAWINGS**

Figure 1 is a block diagram background information management system of the present invention.

Figure 2 is a description of the abstract life event data structure.

Figure 3 is a description of the criminal event data structure.

Figure 4 is a description of the discipline event data structure.

Figure 5 is a description of the education event data structure.



Figure 6 is a description of the employment event data structure.

Figure 7 is a description of the family event data structure.

Figure 8 is a description of the general information data structure.

Figure 9 is a description of the military event data structure.

5 Figure 10 is a description of the negative action event data structure.

Figure 11 is a description of the other agency data structure.

Figures 12A-12C, collectively, are a description of the substance use data structure.

Figure 13 is a description of the critical item data structure.

10 Figure 14 is a flowchart of a questionnaire engine.

Figures 15A-15M, collectively, are a sample life history information report that is generated by the system and method of the present invention.

Figure 16 is a flowchart of a life events engine.

15 Figures 17A-17B, collectively, are a sample life events report that is generated by the system and method of the present invention.

Figure 18 is a flowchart of a critical items engine.

Figure 19 is a sample of the critical items report that is generated by the system and method of the present invention.

20 Figure 20 is a sample biodata indices report that is generated by the system and method of the present invention.

## **DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENTS**

In view of the complexity of the invention, the overall architecture of the

invention is first discussed. Next, specific components of the invention, such as the questionnaire engine, the rule processing engine, the life event engine and the critical items engine are considered. Examples of reports generated by the system are also discussed to better illustrate the invention.

5           In the following description, like reference characters designate like or corresponding parts throughout the several views. It should be understood that the illustrations are for the purpose of describing a preferred embodiment of the invention and are not intended to limit the invention thereto.

### Overview

10           Figure 1 illustrates the overall architecture of the background information management system 100 of the present invention. In response to input received from the user, a personal computer 102 running a browser requests a set, or cluster, of questions via a communications network 104, such as the Internet. The questions are designed to obtain information about the life history of the user, such as an applicant for a law  
15           enforcement position.

          A questionnaire engine 106, which is discussed in more detail below, retrieves the requested set of questions from a SQL database 108 and transmits the set of questions to the user via the communications network 104. The set of questions is then displayed on the browser running on the personal computer 102. The personal computer receives the  
20           user's responses to one or more of the questions in the set. The responses are sent to the questionnaire engine 106, which sends the responses to the SQL database 116, where they are stored in association with the questions. Based on the user's responses to a set of

questions, the questionnaire engine 106 logically determines which questions or set of questions are next presented to the applicant.

An administrative interface 110 is provided to allow a system administrator to edit the questions stored in the SQL database 108 and the logic for determining the questions to be presented to the user.

A rule processing engine 112 receives question responses from the SQL database 108 and organizes the questions and responses into a life history report.

The rule processing engine 112 also analyzes the questions and answers and establishes a number of life events. A life event is something that occurred during the life of the user.

Figure 2 illustrates the data structure of an abstract life event. An abstract event is analogous to an abstract base class that represents an event based in time. The functionality of the base class can be extended through inheritance. The attributes of the abstract life event are part of every event since all events are derived from the abstract life event. The abstract event data structure is advantageously designed to represent information for all life events that are created and managed by the system. Each event can have a condition for inclusion (ShowWhen), a frequency, a begin date and end date, and a location.

An abstract life event consists of the following attributes:

- ShowWhen – a rule that fires to determine whether the event is relevant. If the ShowWhen attribute evaluates to true, then the event will show itself (or be stored in the database for later viewing).
- EventCode – a unique identifier so that the event can be referenced.

- Name – is a human friendly name
- Frequency – contains two sub attributes
  - Freq – is the frequency of the event. For example “has been arrested 2 times,” the Freq would be “2”
  - FreqType – is the units on the frequency. From the above example the FreqType would be “Times”. Other examples are “per week” and “per year”.
- TimeFrame – contains two sub attributes
  - BeginDate – is the begin date of the life event. If this is blank, then there is no begin date or it is unknown or not relevant.
  - EndDate – is the end date of the life event. If this is blank, then there is no end date or it is unknown or not relevant.
- Geog – contains 6 attributes that define the location geography of the event.
  - Address
  - City
  - State
  - Zip
  - County
  - Country
- OriginDateOffset – this sets the origin of the scale of measurement of time events. For a person, this might be their date of birth.

Figures 3 – 12, illustrate the data structures of the following types of life events:

- criminal event (Figure 3)

- discipline event (Figure 4)
- education event (Figure 5)
- employment event (Figure 6)
- family event (Figure 7)
- general information (Figure 8)
- military event (Figure 9)
- negative action event (Figure 10)
- other agency (Figure 11)
- substance use (Figures 12A-12C)

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Returning to Figure 1, the rule processing engine 112 identifies negative indicators from the life events. In the preferred embodiment, a negative indicator is a life event that is relevant to predicting an outcome for an applicant for law enforcement employment. In the preferred embodiment, a negative indicator can also be a critical item.

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A critical item is an event, or a combination of events, the occurrence of which is empirically linked to a possible specific negative outcome, such as, failure to complete training, receipt of a disciplinary action or notification of a performance deficiency. By “disciplinary action,” we mean an adverse action taken with respect to any employee, such as, a reprimand, suspension or termination. Figure 13 illustrates the data structure for a critical item.

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In the law enforcement employment screening process, the presence of a negative indicator might warrant further investigation.

The rule processing engine 112 assigns certain predetermined values to the critical

items. The values are assigned to the critical items are based on empirical research that correlates the critical item to a specific, objective, negative outcome. Also, the occurrence of one or more critical events might result in not hiring the applicant. Other negative indicators have been “rationally” linked to negative outcomes. In other words, experts agree that, as a matter of reason, such events are related to a particular negative outcome.

The rule processing engine 112 calculates biodata indices based on the values assigned to the critical items. A biodata index can be calculated for each life event type associated with any of the critical items. For example, biodata indices could be computed for the employment, criminal and substance abuse types of life events. The indices can be summed to produce an overall risk score. The higher an applicant’s risk score, the lower the applicant’s priority with respect to the hiring entity.

A report engine 114 generates reports of the life history information accumulated by the questionnaire engine 104. The report engine 114 also generates a report of life events, critical items and biodata indices. The reports may be formatted into an electronic word processing document 116, such as Microsoft Word® or Word Perfect®, output to printer 118, or displayed on a computer 102.

### **The Questionnaire Engine**

Figure 14 is a flowchart illustrating the process of the questionnaire engine. The process is initiated by getting a first collection of questions 400. The collection of questions is shown to the user 402, and the user provides a response to each question 404, 406. Each collection of question has at least one revealed stem question and may have

one or more hidden branch questions. The system then determines, using conditional logic, if the hidden branch question should be asked in view of the response to the stem question 408, 410. If so, the branch question is revealed to the user 412. The branch question then may become a stem question. If the hidden, branch question should not be asked, the system determines whether the following question should be asked 414. The process of determining whether each question in the collection should be asked continues until the user has been presented and has responded to all of the questions in the collection that should be asked 414, 416.

Once responses are received for each of the questions in a collection, the user is directed to submit the responses to the questions 418. The questionnaire engine then determines whether the response to each question is valid in satisfactory form 420, 422. If a response is not valid, an error message is displayed and the user is prompted to edit the response 424. If the response is valid, the response to the next question is analyzed similarly 426. Once all of the responses are deemed to be in satisfactory format, the responses are saved 428.

Once the responses to a question collection are saved, the applicant is unable to edit the responses. By prohibiting the applicant from changing or altering his answers, the positive response bias is minimized because it is more difficult for the applicant to anticipate the specific information that will be later requested and/or change responses to eliminate inconsistencies.

The questionnaire engine then determines whether the next collection of questions should be presented to the applicant 430, 432. If the next collection should be asked, the collection of questions is presented to the user 402 and the process continues as described

above. If the collection of questions should not be asked, the next collection of questions is analyzed to determine whether it should be presented to the applicant 434. The process continues until all question collections have been presented to the user. The system then determines whether the user is ready to close the case 436, and if so, the case is closed 438.

Unlike traditional pencil and paper questionnaires, the questionnaire engine of the present invention contains logic that navigates the applicant through the questionnaire and specifies critical fields that must be completed before the applicant is allowed to continue. This advantageously decreases an applicant's susceptibility to response set bias, regardless of whether the questions are objective or subjective, because the applicant cannot anticipate what specific explanations are required or revisit previously submitted questions. Therefore, applicants cannot tailor their answers or try to avoid inconsistencies in their answers. Furthermore, the applicant does not have to sift through many non-applicable questions, and is less likely to omit critical information as a result of misunderstanding directions or overlooking questions.

In addition, known biodata questionnaires contain specific life history based questions that have been identified as predictive of performance. These are typically focused lists of only objectively scored questions, whose utility is necessarily limited to generation of biodata and resultant scores. The questionnaire engine of the present invention, however, develops comprehensive biographical information that can be used both to organize information for a background investigation tool and to derive biodata indices, which is discussed below. Further, the questionnaire engine gathers information and reports it in a standardized format that can be used by multiple agencies employing



applicants in similar job classifications such as law enforcement, public safety, and criminal justice professions.

The questionnaire engine advantageously allows a collection of questions to elicit responses that relate to more than one life event type without revealing the relationship to the applicant. By "life event type," we mean a domain of life events, such as, education, work history or substance use. For example, an applicant may indicate in a collection of questions related to employment, his date of graduation from the police academy. In another collection of questions related to substance use, the applicant provides information about the last time he smoked marijuana. As discussed below, the rules processing engine will chronologically relate these two life events and may generate a negative indicator because the date of the applicant last smoked marijuana is after the graduation date. The applicant, however, is unlikely to detect such a relationship while providing life history information.

The logic of the questionnaire engine also advantageously allows the applicant to respond to questions in both objective and subjective formats. By "subjective," we mean a question that elicits a descriptive response. Objective questions generally require the applicant to answer the question "yes or no" or "true or false." Subjective questions are open-ended and are intended to elicit more detailed information than responses to the objective questions. By asking both objective and subjective questions, relevant information can be gathered in separate question collections, and then organized and presented to interested persons, such as investigators or hiring personnel, in a consistent manner.

For example, an applicant may indicate in a collection of employment questions

that he/she has never been “formally disciplined” on a job. Several question collections later, however, the applicant may indicate in a detailed response to questions in an integrity collection that “I took some equipment home from work. I forgot about it until it came up missing in an audit; then I brought it back. I don’t know if this is stealing or not but the boss wrote me up even though I returned it. After I returned it they took the letter out of my file.” In this case, the applicant completed the employment questions with a positive bias, that is, by choosing not to present this event as an instance of “formal discipline.” The applicant’s response set in this case may have been that the incident was minor and because the “write up” was subsequently deleted, it was not worth mentioning.

When completing the integrity section, however, the applicant’s response set was somewhat different. The applicant was inclined to give substantially more detail about the event because the question did not relate to employment discipline. Therefore, the information sought by subjective, open-ended questions is sometimes less obvious to the applicant, which makes the applicant less susceptible to response set biases. Questions that elicit descriptive answers also provide the advantage of allowing the evaluator, rather than the applicant, to interpret specific events, determine areas for investigative follow-up, and assign biodata scoring points to the event.

Figure 5A – 5M, collectively, are an example of a life history information report generated by the report engine (shown as 110 in Figure 1). The report organizes the information acquired via the questionnaire engine by life event type.

### **The Rule Processing Engine**

Returning to Figure 1, the rule processing engine 112 generally analyzes the

applicant's life history information and creates a number of life events based on that information. Negative indicators and critical items are identified from the life events and biodata values are calculated based on the critical items. These functions of the rule processing engine are performed by the live event engine and the critical item engine, which are discussed below in more detail.

### *The Life Events Engine*

Figure 16 illustrates the flow of one of the components of the rule processing engine, namely, the life events engine 60. The life events engine 60 creates life events from the life history information acquired by the questionnaire engine.

In operation, the life events engine 60 loads the abstract life event data structure (described in Figure 3) 600 and the applicant's responses to the life history questionnaire 602. The life events engine then creates life events from the life history information. For each life event, the life events engine determines whether the life event is applicable by firing the ShowWhen rule associated with each life event 604, 606. A life event is applicable if it is a negative indicator or if it is relevant to a background investigation. The process identifying all applicable life events continues by examining the next life event 608 until all life events have been examined.

After all applicable life events have been identified, each life event field for each applicable life event is assigned a value based on the life history information acquired by the questionnaire engine 610, 612, 614. The elements of the life history information (that is, the applicant's responses to the questions presented by the questionnaire engine) are mapped to the fields of each applicable life event. After values are mapped to each life event field for an applicable life event, the next applicable life event is considered and the

process of mapping responses to life event fields continues until all applicable life events have been processed (616, 618). By the process just described, the life events engine identifies the life events that are predictive of a predefined, negative objective outcome. By "objective," we mean an observable outcome, such as, failure to complete training.

5 By "negative," we mean an undesired outcome from the point of view of an employer or a potential employer. As discussed above, such life events are negative indicators because their occurrence indicates an increased risk of a particular negative outcome and/or the need for close investigation of the life event. The life events engine identifies these negative indicators by using conditional logic to chronologically relate the life events.

10 The chronologically related life events are then compared with a predefined list of negative indicators. For example, such a process may identify the following chronologically related events: "the applicant accepts a job at less pay after stating the reason for leaving previous job was advancement," or "the applicant admits to smoking marijuana after date of his first application to the law enforcement agency."

15 In the preferred embodiment, the existence of any specific negative indicator, while mathematically accretive to a biodata value, does not unilaterally predict a specific, negative, objective outcome. In addition, some negative indicators are not assigned empirical values because, although they have been rationally linked to some a specific job dysfunction, their predictive validity has not yet been determined empirically. However,  
20 biodata values at sufficient levels have been found to predict dysfunction at specified levels of confidence. Nonetheless, the life events that are negative indicators are classified, stored, and reported because they may be relevant to investigators and evaluators. In an alternative embodiment, all life events that are negative indicators can

be assigned a biodata value for use in a predictive index.

Figure 17 is an example life events report generated by the present invention.

The report preferably includes columns for the classification and type of event, name of the life event, beginning and end dates of the event, and frequency of the event.

## 5     *The Critical Items Engine*

After the life events engine identifies the applicable life events, a critical items engine (the flow of which is illustrated in Figure 18) determines which life events are critical items. In the preferred embodiment, a critical item is a life event that is assigned a specific value that is used to calculate a biodata index. As shown in Figure 18, the life events that have been identified by the life event engine as negative indicators are instantiated 800. Next, critical item processing instructions are loaded and each critical item processing instruction is executed 802, 804. Next, each life event created by the life event engine is examined and the critical events engine determines whether the life event is a critical item 806. A critical item is a life event that has an empirically derived biodata value that is associated with the life event. If the life event is a critical item, each field of the critical item is assigned a value by mapping the value from the life event field to the corresponding critical item field 808, 810, 812. If the critical event is not applicable to calculating a biodata index, the next critical item is processed 814 and this process continues until each critical item has been examined.

Figure 19 is an example of a critical items report 90 generated by the present invention. The critical items report preferably identifies the name of each life event that is a critical item 900, the beginning and end dates of the event 902, 904, the frequency of the event 906 and more detailed information about the life event 908. The report also

includes a biodata value 910 for each critical item. A risk score is associated with each biodata index value and the total biodata index value. The risk score indicates whether the risk of a particular negative outcome, such as failure to complete training, is high or low.

5           It can be appreciated that generating a critical items report manually can be a time consuming, labor intensive task because the information required to identify critical items is dispersed through the life history information. In the present system, the critical items are automatically determined by the conditional logic of the life events engine, and the critical items engine automatically calculates the resultant biodata values and indices.

10           Figure 20 is an example of a biodata summary 100 generated by the system and method of the present invention. As illustrated in Figure 20, for each biodata index, the biodata summary 1000 shows the index name 1002, the index value 1004 and the risk score 1006. In the example, biodata indices are calculated for the following life event types: employment 1008, criminal 1010, substance abuse 1012 and other 1014. It should  
15           be understood that other critical items might be identified which would lead to the development of additional biodata indices.

          These biodata values can be used alone, as an initial screening tool, or can be combined with other data, such as psychometric data. By “psychometric data,” we mean data derived from one or more normatively based psychological test instruments. The use  
20           of the biodata values in conjunction with psychometric data may result in a more accurate prediction of a specific, objective, negative outcome.

          Psychometric data is made up of subscales derived from one or more psychometric tests. These subscales are either measures of content, such as vocabulary

and word knowledge; or psychological constructs, such as self-control, responsibility, integrity and cognitive ability. The specific subscales are identified and the weights are generated through discriminant function modeling, a known statistical procedure.

To build a discriminant function model, a group of applicants that experienced one or more certain negative outcomes is identified. This group is then matched with a group of applicants who did not experience the relevant negative outcome. The discriminant function model is then constructed using known actuarial procedures, and a set of equations would be generated. The specific sub scales, as well as the weights in the resultant equations, are specific to the applicant pool considered.

The above description of the preferred embodiments details many ways in which the present invention can provide its intended purposes. Programmers skilled in the art are able to produce workable computer programs to practice the teachings set forth above.

While several preferred embodiments are described in detail hereinabove, it is apparent that various changes might be made without departing from the scope of the invention, which is set forth in the accompanying claims.

## CLAIMS

What is claimed is:

1. A computer based method for acquiring life history information from an applicant for employment to minimize positive response bias and enhance the veracity of the acquired life history information, comprised of:

presenting to the applicant a collection of questions related to at least one life event, the question collection being comprised of a revealed stem question and at least one hidden branch question, the hidden branch question being related to the stem question;

receiving from the applicant a response to the stem question and storing the stem question response in a computer database;

based on the stem question response, automatically determining whether to present the at least one hidden branch question to the applicant; and

if the at least one hidden branch question is to be presented to the applicant,

revealing the branch question to the applicant, receiving from the applicant a response to the branch question and storing the branch question response in the computer database.

2. The method of claim 1, wherein the applicant is an applicant for a law enforcement, criminal justice or public safety employment.

3. The method of claim 1, wherein the occurrence of the life event is relevant



to predicting a predefined outcome for the applicant.

4. The method of claim 3, wherein the predefined outcome is an objective  
5 outcome.

5. The method of claim 3, wherein the predefined outcome is a negative  
outcome.

10 6. The method of claim 5, wherein the predefined negative outcome is an  
objective outcome.

7. The method of claim 6, wherein the predefined objective, negative  
outcome is failure to complete training.

15 8. The method of claim 6, wherein the predefined objective, negative  
outcome is receipt of a predefined disciplinary action.

9. The method of claim 6, wherein the predefined objective, negative  
20 outcome is notification of a performance deficiency.

10. The method of claim 1, wherein the response to the at least one question is  
comprised of descriptive information.

11. The method of claim 1, wherein the response to the at least one hidden branch question is relevant to at least one negative indicator.

12. The method of claim 10, wherein the negative indicator is a critical item.

13. The method of claim 10, wherein the occurrence of the negative indicator is relevant to predicting a predefined outcome for the applicant.

14. The method of claim 1, wherein the stem question response cannot be altered by the applicant after completion of the question collection.

15. A computer readable medium comprising software for acquiring life history information from an applicant for employment to minimize positive response bias and enhance the veracity of the acquired life history information, wherein the software instructs a computer to:

present to the applicant a collection of questions related to at least one life event, the question collection being comprised of a revealed stem question and at least one hidden branch question, the hidden branch question being related to the stem question;

receive from the applicant a response to the stem question and storing the stem question response in a computer database;

based on the stem question response, automatically determine whether to present the at least one hidden branch question to the applicant; and

if the at least one hidden branch question is to be presented to the applicant, reveal the branch question to the applicant, receiving from the applicant a response to the branch question and storing the branch question response in the computer database.

5

16. A method for automatically predicting a predefined outcome for an applicant for employment, comprising:  
receiving life history information about the applicant and storing the life history information in a computer database;  
10 identifying one or more predefined negative indicators, wherein each negative indicator is based on the life history information and is relevant to predicting the predefined outcome;  
predicting the predefined outcome based on the occurrence of the one or more negative indicators.

15

17. The method of claim 15, wherein the negative indicator is a critical item.

18. A method for automatically predicting a predefined outcome for an applicant for employment, comprising:  
receiving life history information about the applicant and storing the life history information in a computer database;  
20 determining the existence of a plurality of predefined life events based on the life history information;

identifying one or more predefined negative indicators, wherein each negative indicator is based on the plurality of predefined life events and is relevant to predicting the predefined outcome; and predicting the predefined outcome based on the occurrence of the one or more negative indicators.

19. The method of claim 17, wherein the negative indicator is a critical item.

20. A method for automatically predicting a predefined outcome for an applicant for employment, comprising:  
receiving life history information about the applicant and storing the life history information in a computer database;  
identifying one or more predefined critical items, wherein each critical item is based on the life history information and is relevant to predicting the predefined outcome;  
assigning a value to each of the one or more critical items and  
predicting the predefined outcome based on values of the one or more critical items.

21. A method for automatically predicting a predefined outcome for an applicant for employment, comprising:  
receiving life history information about the applicant and storing the life history information in a computer database;

identifying one or more predefined critical items, wherein each critical item is  
based on the life history information and is relevant to predicting the  
predefined outcome;  
assigning a predefined value to each of the one or more critical items;  
5 calculating a risk score based on each of the one or more critical items; and  
predicting the predefined outcome based on the risk score.

22. A method for automatically predicting a predefined outcome for an  
applicant for employment, comprising:

10 receiving life history information about the applicant and storing the life history  
information in a computer database;  
determining the existence of a plurality of predefined life events based on the life  
history information;  
identifying one or more predefined critical items, wherein each critical item is:  
15 based on the plurality of predefined life events;  
relevant to predicting the predefined outcome; and  
is associated with one of a plurality of predefined life event types;  
assigning a predefined value to each of the one or more critical items and  
calculating one or more event type indices for each of the plurality of predefined  
20 life event types based on:  
the value assigned to each of the one or more critical life events; and  
the life event type with which each of the one or more critical items is  
associated;

predicting the predefined outcome based on the one or more calculated event type indices.

23. A method for automatically predicting a predefined outcome for an applicant for employment, comprising:

receiving life history information about the applicant and storing the life history information in a computer database;

identifying one or more predefined critical items, wherein each critical item is:

based on the life history information;

relevant to predicting the predefined outcome; and

is associated with one of a plurality of predefined life event types;

assigning a predefined value to each of the one or more critical items; and

calculating one or more event type indices for each of the plurality of predefined life event types based on:

the value assigned to each of the one or more critical items;

the life event type with which each of the one or more critical items is associated;

calculating a risk score based on each of the one or more event type indices;

predicting the predefined outcome based on the risk score.

24. A method for automatically predicting a predefined outcome for an applicant for employment, comprising:

receiving life history information about the applicant and storing the life history



outcome.

28. The method of claim 26, wherein the predefined negative outcome is an objective outcome.

5

29. The method of claim 27, wherein the predefined objective, negative outcome is the applicant's failure to complete training.

30. The method of claim 26, wherein the predefined objective, negative outcome is the applicant's receipt of a predefined disciplinary action.

10

31. The method of claim 26, wherein the predefined objective, negative outcome is notification of a performance deficiency.

32. The method of claim 26, wherein the predefined life event type is selected from the group consisting of an employment event, a criminal event or a substance event.

15

33. The method of claim 16, wherein the predicting of the occurrence of a predefined outcome is further based on weighted psychometric data.

20

34. A computer readable medium comprised of software for automatically predicting a predefined outcome for an applicant for employment, wherein the software instructs a computer to:



receive life history information about the applicant and store the life history  
information in a computer database;

identify one or more predefined negative indicators, wherein each negative  
indicator is based on the life history information and is relevant to  
5 predicting the predefined outcome;

predict the predefined outcome based on the occurrence of the one or more  
negative indicators.

35. The computer readable medium of claim 32, wherein the negative  
10 indicator is a critical item.

36. A computer readable medium comprised of software for automatically  
predicting a predefined outcome for an applicant for employment, wherein the software  
instructs a computer to:

15 receive life history information about the applicant and store the life history  
information in a computer database;

determine the existence of a plurality of predefined life events based on the life  
history information;

20 identify one or more predefined negative indicators, wherein each negative  
indicator is based on the plurality of predefined life events and is relevant  
to predicting the predefined outcome; and

predict the predefined outcome based on the occurrence of the one or more  
negative indicators.

37. The computer readable medium of claim 34, wherein the negative indicator is a critical item.

5 38. A computer readable medium comprised of software for automatically predicting a predefined outcome for an applicant for employment, wherein the software instructs a computer to:

receive life history information about the applicant and store the life history information in a computer database;

10 identify one or more predefined critical items, wherein each critical item is based on the life history information and is relevant to predicting the predefined outcome;

assign a value to each of the one or more critical items and predict the predefined outcome based on values of the one or more critical items.

15 39. A computer readable medium comprised of software for automatically predicting a predefined outcome for an applicant for employment, wherein the software instructs a computer to:

receive life history information about the applicant and store the life history information in a computer database;

20 identify one or more predefined critical items, wherein each critical item is based on the life history information and is relevant to predicting the predefined outcome;

assign a predefined value to each of the one or more critical items;  
calculate a risk score based on each of the one or more critical items; and  
predict the predefined outcome based on the risk score.

5            40.     A computer readable medium comprised of software for automatically  
predicting a predefined outcome for an applicant for employment, wherein the software  
instructs a computer to:

receive life history information about the applicant and store the life history  
information in a computer database;

10           determine the existence of a plurality of predefined life events based on the life  
history information;

identify one or more predefined critical items, wherein each critical item is:

based on the plurality of predefined life events;

relevant to predicting the predefined outcome; and

15           is associated with one of a plurality of predefined life event types;

assign a predefined value to each of the one or more critical items and

calculate one or more event type indices for each of the plurality of predefined life  
event types based on:

the value assigned to each of the one or more critical life events; and

20           the life event type with which each of the one or more critical items is  
associated;

predict the predefined outcome based on the one or more calculated event type  
indices.

41. A computer readable medium comprised of software for automatically predicting a predefined outcome for an applicant for employment, wherein the software instructs a computer to:

5 receive life history information about the applicant and store the life history information in a computer database;

identify one or more predefined critical items, wherein each critical item is:

based on the life history information;

relevant to predicting the predefined outcome; and

10 is associated with one of a plurality of predefined life event types;

assign a predefined value to each of the one or more critical items; and

calculate one or more event type indices for each of the plurality of predefined life event types based on:

the value assigned to each of the one or more critical items;

15 the life event type with which each of the one or more critical items is associated;

calculate a risk score based on each of the one or more event type indices;

predict the predefined outcome based on the risk score.

20 42. A computer readable medium comprised of software for automatically predicting a predefined outcome for an applicant for employment, wherein the software instructs a computer to:

receive life history information about the applicant and store the life history

information in a computer database;  
determine the existence of a plurality of predefined life events based on the life  
history information;  
identify one or more predefined critical items, wherein each critical item is:  
5 based on the plurality of predefined life events;  
relevant to predicting the predefined outcome; and  
is associated with one of a plurality of predefined life event types;  
assign a predefined value to each of the one or more critical items; and  
calculate one or more event type indices for each of the plurality of predefined life  
10 event types based on:  
the value assigned to each of the one or more critical life events;  
the life event type with which each of the one or more critical life events is  
associated;  
calculate a risk score based on each of the one or more event type indices;  
15 predict the predefined outcome based on the risk score.

43. A computer based method for acquiring life history information from an  
applicant for employment to minimize positive response bias and enhance the veracity of  
the acquired life history information, and predicting a predefined outcome for an  
20 applicant for employment, comprised of:

presenting to the applicant a collection of questions related to at least one life  
event, the question collection being comprised of a revealed stem question  
and at least one hidden branch question, the hidden branch question being

related to the stem question;

receiving from the applicant a response to the stem question and store the stem

question response in a computer database;

based on the stem question response automatically determining whether to present

5 the at least one hidden branch question to the applicant;

if the at least one hidden branch question is to be presented to the applicant,

revealing the branch question to the applicant, receiving from the applicant

a response to the branch question and store the branch question response in

the computer database;

10 identifying one or more predefined negative indicators based on the life history

information, wherein each negative indicator is based on the life history

information and is relevant to predicting the predefined outcome;

predicting the predefined outcome based on the occurrence of the one or more

negative indicators.

15

44. The method of claim 41, wherein the negative indicator is a critical item.

45. A computer readable medium comprised of software for acquiring life

history information from an applicant for employment to minimize positive response bias

20 and enhance the veracity of the acquired life history information, and predicting a

predefined outcome for an applicant for employment, wherein the software instructs a

computer to:

present to the applicant a collection of questions related to at least one life event,

the question collection being comprised of a revealed stem question and at least one hidden branch question, the hidden branch question being related to the stem question;

receive from the applicant a response to the stem question and store the stem question response in a computer database;

based on the stem question response, automatically determining whether to present the at least one hidden branch question to the applicant;

if the at least one hidden branch question is to be presented to the applicant,

revealing the branch question to the applicant, receiving from the applicant a response to the branch question and store the branch question response in the computer database;

identify one or more predefined negative indicators based on the life history information, wherein each negative indicator is based on the life history information and is relevant to predicting the predefined outcome;

predict the predefined outcome based on the occurrence of the one or more negative indicators.

46. The method of claim 43, wherein the negative indicator is a critical item.

## ABSTRACT

A computer-based system and method, and computer software, for acquiring life history information from an applicant for employment to minimize positive response bias and enhance the veracity of the information. The information is used for conducting conventional background investigation or predicting a job-related outcome.

A questionnaire engine presents the applicant with questions to elicit the information. Each question collection has revealed stem questions and hidden branch questions. Depending on the applicant's response to a revealed question, the hidden question is revealed and the applicant's response is stored. The applicant cannot alter the question response after completion of the question collection.

A rules processing engine, comprised of a life events engine and a critical items engine, uses the life history information to predict a job-related outcome. A life events engine determines predefined life events based on the information. A critical items engine identifies from the life events one or more negative indicators. A negative indicator is a life event that is linked to a specific, negative, objective job related outcome. The critical items engine also identifies one or more predefined critical items from the negative indicators. A critical item is a negative indicator that has been linked empirically to a specific outcome. Values are then assigned to each critical item, and based on these values, life event type indices are calculated for types of life events. A risk score is then calculated based on the life event type indices. Finally, a prediction of a negative, objective job-related outcome is based on the risk score.



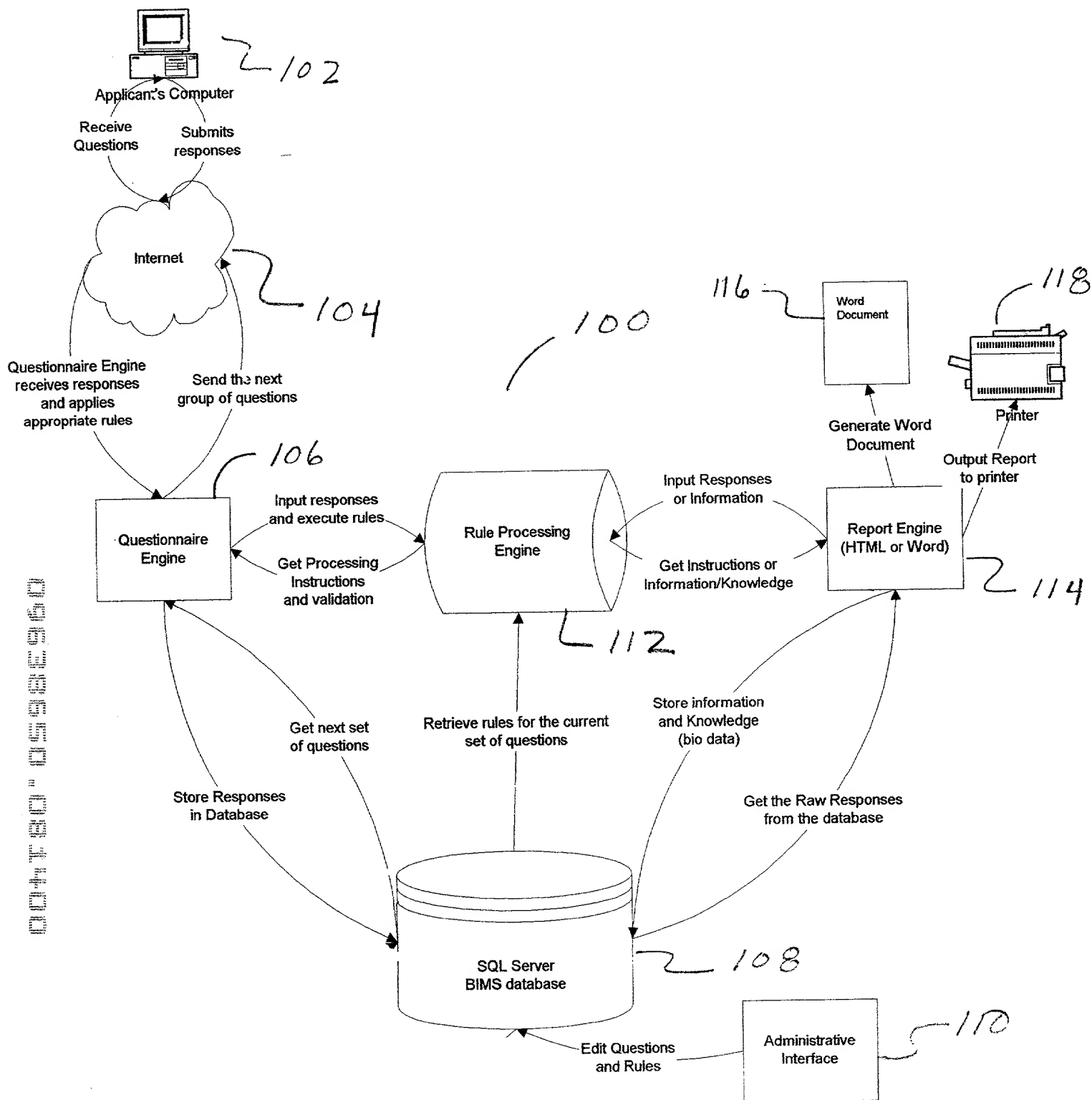


Figure 1

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Figure 2

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Figure 3

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Figure 4



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Figure 6

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Figure 7

```
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**Figure 8**



```

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Figure 9

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Figure 10

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Figure 11

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Figure 12A

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Figure 12B

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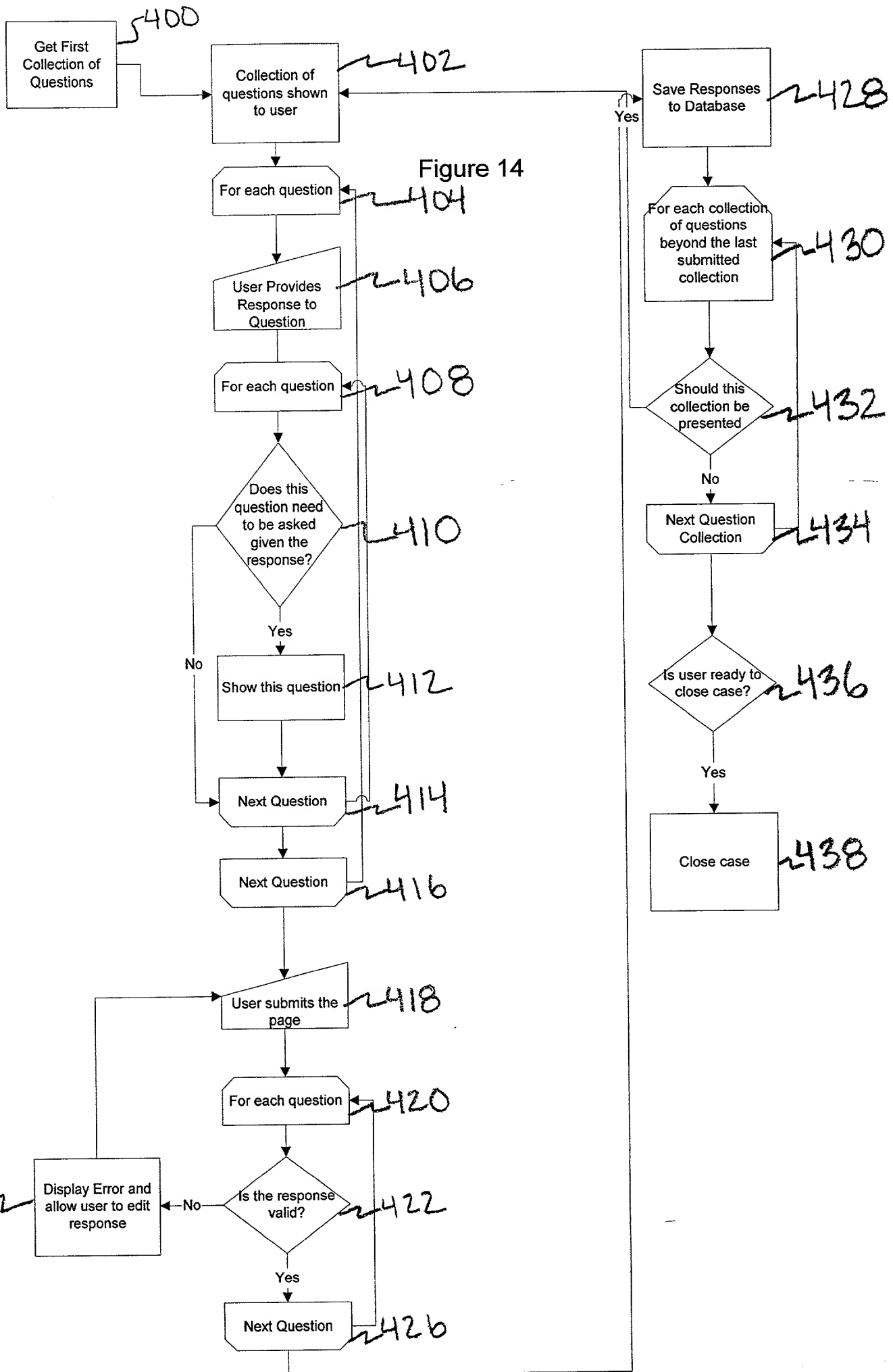
Figure 12C

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Figure 13



004T30" 0593E960



# Background Investigator's Report for:

Name: **John Q. Doe**  
Social Security #: **123456789**  
Case ID: **441**  
Case Date: **8/3/00**  
Report Date: **8/4/00**

## Section Question

## Response

### 1) Identifying Information

Last Name	Doe
First Name	John
Middle Initial	Q
Social Security Number	123456789
Retype Social Security Number to confirm	123456789
Date of Birth	9/10/1974
Please select your Race/Ethnicity	White
Sex	Male

### 2) Illinois State Police (required information)

Citizenship acquired by:	Birth
Height:	5'10"
Weight:	170
List all other names you have gone by, including nicknames. If female, furnish maiden name:	Johnny, Jack
Have you ever legally changed your name?	no
Number of Dependents:	1
Have you ever been issued a drivers license by a state other than Illinois?	YES
List state(s) and license number (s):	North Carolina #123456
Father's name:	Ralph Doe
Father's address:	123 Placename Drive, Township, Idaho
Father's date of birth:	4/3/1954
Is your father still living?	YES
Mother's name:	Elizabeth Doe
Mother's address:	123 Placename Drive Township, Idaho
Mother's date of birth:	9/10/1954
Is your mother still living?	YES

Do you have any brothers?	YES
Brother's name:	Lloyd Doe
Brother's address:	44 Flightpath Lane Detroit, Michigan
Brother's date of birth:	5/21/1976
Is this brother still living?	YES
Do you have any other brothers?	YES
Brother's name:	David Doe
Brother's address:	88 Frenchtown Avenue Burlington, Iowa
Brother's date of birth:	10/3/1980
Is this brother still living?	YES
Do you have any other brothers?	no
Do you have any sisters?	no
Are you currently married?	YES
Spouse's name:	Michelle Doe
Spouse's address:	3 Lois Place Ann Arbor, Michigan
Spouse's date of birth:	4/7/1975
Have you been previously married?	no
Is there any other person not listed above with whom you currently reside who is currently 16 years of age or older?	no
Date began residing there:	5/1/1996
Complete address:	6304 Catpaw Drive Greensboro, NC 27403
Do you rent?	YES
Landlord's name:	Richland Properties
Landlord's complete address:	55 Lords Avenue Chapel Hill, NC
Landlord's telephone number:	919-345-6789
Began residence:	1/1/1975
Ended residence:	5/1/1996
Complete address:	134 State Street Brooklyn Heights, Ohio
Did you rent?	no
Name of first reference:	Harold Cobleman
Complete address:	23 Grant Drive Raleigh, NC
Telephone number:	919-222-9876
Name of second reference:	Michael Easterling
Complete address:	88 Governor Lane Chapel Hill, NC
Telephone number:	919-887-6627
Name of third reference:	James Hunter
Complete address:	9943 Wilson Street Springfiled, Illinois
Telephone number:	217-567-2941
Name:	Randal Bircham
Complete address:	56 Heltring Street Greensboro, NC
Telephone number:	336-288-7941

**Figure 15B**

Have you previously submitted an application for employment as a sworn officer with the Illinois State Police?	YES
Approximately when did you apply?	9/1997

### 3) Education

#### 3.1) Overview

Education beyond high school/GED	YES
Law Enforcement Training	YES
Academic, i.e. College	YES
Bachelor Degree(s)	YES

#### 3.3) Academic Bachelor Degrees

Bachelor of Arts	YES
Please select your major field of study:	Social Sciences,
What was the name of the Institution?	New York University
Did You Receive your Degree?	YES
Date of Graduation:	5/1998

#### 3.6) Vocational Police and Law

Police Academy	YES
Institution/Agency:	Guilford technical Community Colleg
State:	NC
Date completed:	7/1998
Are you currently a certified law enforcement officer?	YES

### 4) Employment History

When did you first decide to pursue a job in law enforcement, criminal justice or public safety?	1/1989
What is the date of your first application to any law enforcement, criminal justice, or public safety agency?	5/1998
Are you currently employed on a full time basis?	YES
Have you ever been unemployed for more than 30 days?	YES
If you answered "Yes," how many times?	1
Please provide BEGIN date for	5/1998

Figure 15C

004120"033E960

LAST period of unemployment:

Please provide END date for  
LAST period of unemployment:

7/1998

Use this space to describe your  
periods of unemployment:

After I graduated from college, I took a couple of months off  
so that I could travel to Europe

#### **4.1) Position 1 - Herman, Stokes, Calwell, and Bounce**

##### **4.1.1) General Information**

Employer: Herman, Stokes, Calwell, and Bounce  
Job Title: paralegal  
Duties: I perform clerical and paralegal duties for this law firm  
Is/was this job: Full-time  
Starting Salary/Wage/Average  
Commission: \$9.00  
Per: Hour  
Ending (or Current)  
Salary/Wage/Average  
Commission: \$10.50  
Per: Hour  
Employer address: 545 Madison Avenue Greensboro, NC  
Telephone number: 336-654-0600  
Supervisor's name: Don Mclean  
Date Hired: 9/1999  
Still employed? YES

##### **4.1.2) Performance/Disciplinary Incidents**

I experienced and/or was  
counseled for policy or work rules  
violations. YES  
Please explain: I accidentally damaged a computer terminal by spilling coffee  
on it.  
I experienced and/or was  
counseled for attendance  
problems. (schedule conflict) YES  
Please explain: I was late to work on three occasions in April, 2000 due to  
child care difficulties

#### **4.2) Position 2 - Anytown Police Department**

##### **4.2.1) General Information**

Employer: Anytown Police Department  
Job Title: Police Officer  
Duties: regular law enforcement duties of a police officer.  
Is/was this job: Full-time  
Starting Salary/Wage/Average  
Commission: \$25000

Per:	Year
Ending (or Current) Salary/Wage/Average Commission:	\$25000
Per:	Year
Employer address:	35 Government Plaza Anytown, Missouri
Telephone number:	226-334-0900
Supervisor's name:	John McCann
Date Hired:	7/1998
Still employed?	no
If not still employed, when did you leave?	10/1998
Which of the following best describes the circumstances under which you left employment at this position?	Terminated during probationary period,
Please describe the details of all the circumstances you have marked above	Terminated due to difficulty adjusting to shift schedules.

#### 4.2.2) Performance/Disciplinary Incidents

I experienced and/or was counseled for policy or work rules violations.	YES
Please explain:	On duty auto accident subsequent to a vehicle chase
I was reassigned and/or counseled due to poor fit with job.	YES
Please explain:	I had difficulty adjusting to the shift schedules
I experienced disagreement(s) with management.	YES
Please explain:	I was assigned to a field training officer who continually expected me to do his paperwork for him. He continually sat in the car and made me answer calls alone. When I complained, he wrote me up for insubordination
I was accused of dishonesty.	YES
Please explain:	My supervisor accused me of lying to him about some evidence that was missing (and was later found). He thought that I knew where it was all along.
Co-worker complaints	YES
I was verbally counseled:	YES
Number of times:	2
Date of last incident:	9/1998
Please explain:	Someone on my squad kept telling jokes that offended me. I asked him to stop, and he refused. We got into an argument and the supervisor counseled both of us.

#### 4.3) Position 3 - Kinko's

**4.3.1) General Information**

Employer:	Kinko's
Job Title:	Associate
Duties:	responsible for customer service, production of printed documents, and general assistance
Is/was this job:	Part-time
Indicate average number of hours per week:	15
Starting Salary/Wage/Average Commission:	\$6
Per:	Hour
Ending (or Current) Salary/Wage/Average Commission:	\$8.50
Per:	Hour
Employer address:	33 Mountain Court Asheville, NC
Telephone number:	828-903-1267
Supervisor's name:	John Giddings
Date Hired:	6/1996
Still employed?	no
If not still employed, when did you leave?	5/1998
Which of the following best describes the circumstances under which you left employment at this position?	Career advancement,
Please describe the details of all the circumstances you have marked above	I worked at this part time job all through college. I resigned when I graduated

**4.3.2) Performance/Disciplinary Incidents**

I experienced disagreement(s) with management.	YES
Please explain:	I had many managers and supervisors over the years that I worked here and got along with most of them. One of them continually used terrible language that offended me. I asked him to stop and he refused.

**5) Military History**

Have you EVER served in the military on active duty OR reserve duty?	YES
--	-----

**5.1) 1st Service****5.1.1) General Information**

Branch of Service:	USAR or ARNG
Duty Status:	Active Reserve

Primary job or MOS:	personnel specialist
Enlisted	YES
E:	5
Date Initially Enlisted or Commissioned:	3/1994
Discharge Status:	Honorable
Date Discharged, Retired, or Assigned to Reserves:	3/2000
Did your discharge occur prior to full expiration of original or anticipated term of enlistment?	no

### 5.1.2) Disciplinary History

Article 15/Captain's Mast	YES
Number of times:	1
Date of last infraction:	10/1995
Describe EACH infraction:	recieved an article 15 for missing a drill
Forfeiture of Pay	YES
Frequency:	Once
Reduction in Rank	YES
Frequency:	Once
Rank BEFORE last discipline:	E
	4
Rank AFTER last discipline:	E
	3

## 6) Marital Status/Family Information

Current Marital Status:	Married
Date of Marriage:	6/16/1997
Number of Previous Marriages:	0
With whom are you currently living?	Spouse
Are you currently financially responsible for dependent children who do NOT live with you?	no

## 7) Legal

### 7.1) Traffic Violations

Moving violation(s)	YES
Number of violations:	5
Date of last incident:	1/2000
Describe and/or provide additional information regarding this/these violation(s):	I have had 5 speeding tickets. The last one occured in January, 2000 while I was driving to work

Figure 15G

004720-0593E950

Accident(s) with property damage only	YES
Number of accidents:	2
Date of last incident:	2/2000
Describe and/or provide additional information regarding this/these violation(s):	I have had 2 accidents. The last one occurred in February, 2000. The roads were very icy and I was unable to stop at a stoplight. I proceeded into the intersection and struck a parked car.

## 7.2) Integrity, etc.

Have you ever been a defendant, plaintiff, respondent in a civil court action(s)?	no
Have you ever taken ANY money or property from an employer?	YES
Total number of times:	3
Taken \$0-\$50 in money or property	YES
Number of times:	2
Date of LAST incidence of employee theft:	7/2000
Please describe these acts.	I took some pens and a stapler home from work
Taken \$100-\$500 in money or property	YES
Number of times:	1
Date of LAST incidence of employee theft:	11/1998
Please describe these acts.	When I was a police officer, I accidentally failed to turn in a small bag of marijuana that I had obtained from a subject I arrested.
Have you ever taken, bought, sold, received or held stolen property for someone else?	no

## 7.3) Criminal Offenses

### 7.3.1) Criminal Dispositions, Sentences, and/or Outcomes

Have you ever been arrested, detained, pled guilty or no contest to a charge involving assault or domestic violence?	no
Have you ever been incarcerated?	no
Have you ever been on probation or parole?	no
Have you ever been sentenced to community service?	no
Have you ever been ordered to make restitution?	no



Have you ever been mandated to counseling or education? no

### 7.3.2) Reported Criminal Offenses

Any drug or alcohol related offense	YES
Number of times:	1
Date of LAST infraction:	5/1992
Disposition of last infraction:	Convicted
Description of ALL infractions:	Possession of alchohol as a minor. I was in Myrtle Beach with a bunch of my friends and we were at a party having some beer.
Property damage/vandalism	YES
Number of times:	1
Date of LAST infraction:	3/1987
Disposition of last infraction:	Prayer for Judgement Continued
Description of ALL infractions:	When I was 13 years old, a couple of us tipped over some mail boxes
DUI/DWI	YES
Number of times:	1
Date of LAST infraction:	5/2000
Disposition of last infraction:	Convicted of a lesser charge
Description of ALL infractions:	I was stopped by a state trooper while driving home from a party. I consentd to a breath test and blew .05 (under the limit.)I then pled guilty to carrying an open container of alchol in my vehicle.

## 8) Substance Use

### 8.1) Tobacco and Alcohol

Do you smoke now?	no
Do you currently drink alcohol?	YES
How many times have you consumed 6 or more drinks at a time?	5
How often have you driven after 4 or more drinks?	7
How many times have you driven with an open container?	2
What is the average number of drinks consumed per week?	9
How many times have you consumed alcohol on the job?	0
How many times have you been warned by an employer about drinking?	0

### 8.2) Illegal Drug Use

### 8.2.1) Overview

Have you ever used or experimented with marijuana?	YES
Have you ever used or experimented with cocaine?	YES
Have you ever used or experimented with amphetamines, methedrine, dexedrine, "speed"?	no
Have you ever used or experimented with PCP (angel dust)?	no
Have you ever used or experimented with crack cocaine, opiates, morphine, heroin?	no
Have you ever used or experimented with hallucinogens?	no
Have you used or experimented with any illegal drug not listed above?	no
Have you illegally used or experimented with any other drugs?	YES

### 8.2.2) Marijuana

Number of times you have smoked/used or experimented with marijuana in your entire life:	More than 30
Number of times that you have smoked/used or experimented with marijuana in the last 12 months:	0
Have you ever driven after smoking/using marijuana?	YES
Date of last incident:	3/1994
Explain:	I drove home from a party in college after smoking marijuana
Have you ever provided marijuana in exchange for money or goods?	no
Have you ever grown, cultivated, or been involved in the manufacture of marijuana?	no
Have you ever been refused employment or military service because of use of marijuana?	no
Have you ever been disciplined or discharged from employment or military service because of use of marijuana?	no
Age FIRST used or experimented	15

Figure 15J

with Marijuana:

Date last used or experimented  
with Marijuana:

3/1998

You may use this space to  
provide additional information  
about your marijuana use.

I smoked marijuana while I was in college but have not done  
so since graduating

### 8.2.3) Cocaine

Number of times that you have  
used or experimented with  
cocaine:

1-5

Number of times that you have  
used or experimented with  
cocaine in the past 12 months:

0

Have you ever driven after using  
cocaine?

no

Have you ever provided cocaine  
in exchange for money or goods?

no

Have you ever grown, cultivated,  
or been involved in the  
manufacture of cocaine?

no

Have you ever been refused  
employment or military service  
because of use of cocaine?

no

Have you ever been disciplined  
or discharged from employment  
or military service because of use  
of cocaine?

no

Age FIRST used or experimented  
with Cocaine:

19

Date Last used or experimented  
with Cocaine:

6/1998

You may use this space to  
provide additional information  
about your cocaine use.

I used cocaine twice. Once when I was a freshman in college  
and once right after I graduated. I have no intention of  
continuing to use this drug

### 8.2.8) Other Drug Use

Have you used or experimented  
with any illegal drug not  
previously listed?

no

Have you illegally used or  
experimented with any other  
drugs?

YES

Number of times:

2 or 3

Name/type of prescription drug  
(s):

valium

Explain:

I had a girlfriend who had a perscription for valium. She gave  
me one a couple of times.

Use this space to describe,  
explain, or add any information  
you think is important regarding

Although I have used drugs in the past, I have not used any  
since graduating from college. I have now "grown up" and I  
certainly don't intent to use them in the future.

Figure 15K

your substance use.

## 9) Applications to Other Agencies

Have you previously applied to any law enforcement agency? YES

### 9.1) Agency 1

Agency name: Illinois State Police  
City: Springfield  
State: Illinois  
Date applied: 6/2000  
Were you employed by this agency? no  
Were you offered employment with this agency? no  
Not selected from eligibility list. YES  
Explain: I just applied a few weeks ago and they have not, as yet, processed my application  
Have you applied to any other law enforcement agencies? YES

### 9.2) Agency 2

Agency name: Nashville Police Department  
City: Nashville  
State: Tennessee  
Date applied: 7/1997  
Were you employed by this agency? no  
Were you offered employment with this agency? no  
Denied due to results, information, and/or issues developed through background investigation. YES  
Explain: Disqualified because of my use of cocaine  
Have you applied to any other law enforcement agencies? no

## 10) Other Legal

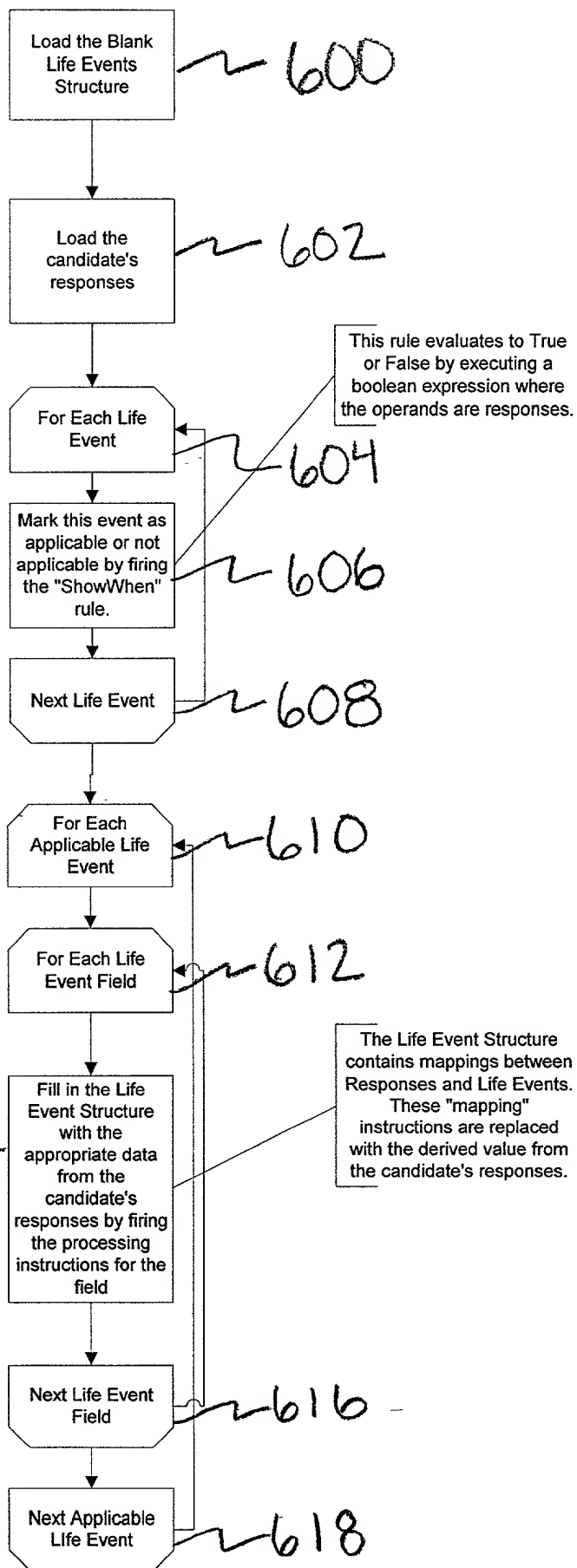
Have you ever intentionally or unintentionally slapped, punched or otherwise injured a spouse or domestic partner? no  
Have you ever been served with or been the subject of a domestic restraining order? no  
Have you ever cheated, lied, or misrepresented facts during an

Figure 15L

application or employment  
evaluation process?

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Figure 16



004T30 0598E950

# Life Events for John Q. Doe

#	Name	Begin	End	Freq
---	------	-------	-----	------

## Education Events (section 3)

- |    |                  |  |        |  |
|----|------------------|--|--------|--|
| 1) | Bachelor of Arts |  | 5/1998 |  |
| 2) | Police Academy   |  | 7/1998 |  |

## Employment History Events (section 4)

- |    |   |        |         |             |
|----|---|--------|---------|-------------|
| 3) | First decided to pursue a job in law enforcement, criminal justice or public safety | 1/1989 | 1/1989  |             |
| 4) | First applied to any law enforcement, criminal justice or public safety agency      | 5/1998 | 5/1998  |             |
| 5) | Unemployed for more than 30 days  | 5/1998 | 7/1998  | 1 times     |
| 6) | Position 1 - Herman, Stokes, Calwell, and Bounce                                    | 9/1999 |         |             |
|    | I experienced and/or was counseled for policy or work rules violations.             |        |         |             |
|    | I experienced and/or was counseled for attendance problems. (schedule conflict)     |        |         |             |
| 7) | Position 2 - Anytown Police Department  | 7/1998 | 10/1998 |             |
|    | I experienced and/or was counseled for policy or work rules violations.             |        |         |             |
|    | I was reassigned and/or counseled due to poor fit with job.                         |        |         |             |
|    | I experienced disagreement(s) with management.                                      |        |         |             |
|    | I was accused of dishonesty.  |        |         |             |
|    | Co-worker complaints  |        |         |             |
|    | I was verbally counseled:   | 9/1998 | 9/1998  | 2 times     |
|    | On Duty Motor Vehicle Accidents   |        | 10/1998 | 1 incidents |
|    | Letters of Reprimand  |        | 10/1998 | 1 incidents |
|    | Suspension WITH pay 3-10 days   |        | 12/1998 | 1 incidents |
| 8) | Position 3 - Kinko's  | 6/1996 | 5/1998  |             |
|    | I experienced disagreement(s) with management.                                      |        |         |             |

## Military History Events (section 5)

- |    |                           |         |         |              |
|----|---------------------------|---------|---------|--------------|
| 9) | USAR or ARNG              | 3/1994  | 3/2000  |              |
|    | Article 15/Captain's Mast | 10/1995 | 10/1995 | 1 time(s)    |
|    | Forfeiture of Pay         |         |         | Once time(s) |
|    | Reduction in Rank         |         |         | Once time(s) |

## Marital Status And Family Information Events (section 6)

Figure 17A

10) Marital Status: Married

6/1997

1 times

### Traffic Violation Events (section 7.1)

11) Moving violation(s)

1/2000 5 time(s)

12) Accident(s) with property damage only

2/2000 2 time(s)

### Integrity Events (section 7.2)

13) Have you ever taken ANY money or property from an employer?

3 time(s)

14) Taken \$0-\$50 in money or property

7/2000 2 time(s)

15) Taken \$100-\$500 in money or property

11/1998 1 time(s)

### Criminal Events (section 7.3)

16) Any drug or alcohol related offense

5/1992 1 time(s)

17) Property damage/vandalism

3/1987 1 time(s)

18) DUI/DWI

5/2000 1 time(s)

### Substance Use Events (section 8)

19) Alcohol

9 per week

How many times have you consumed 6 or more drinks at a time?

5 time(s)

How often have you driven after 4 or more drinks?

7 time(s)

20) Marijuana

9/1989 3/1998 More than 30 time(s)

Have you ever driven after smoking/using marijuana?

3/1994 3/1994

21) Cocaine

9/1993 6/1998 1-5 time(s)

22) Other Illegal Drugs

2 or 3 time(s)

### Applications To Other Agencies Events (section 9)

23) Applied to Illinois State Police

6/2000 6/2000

24) Applied to Nashville Police Department

7/1997 7/1997

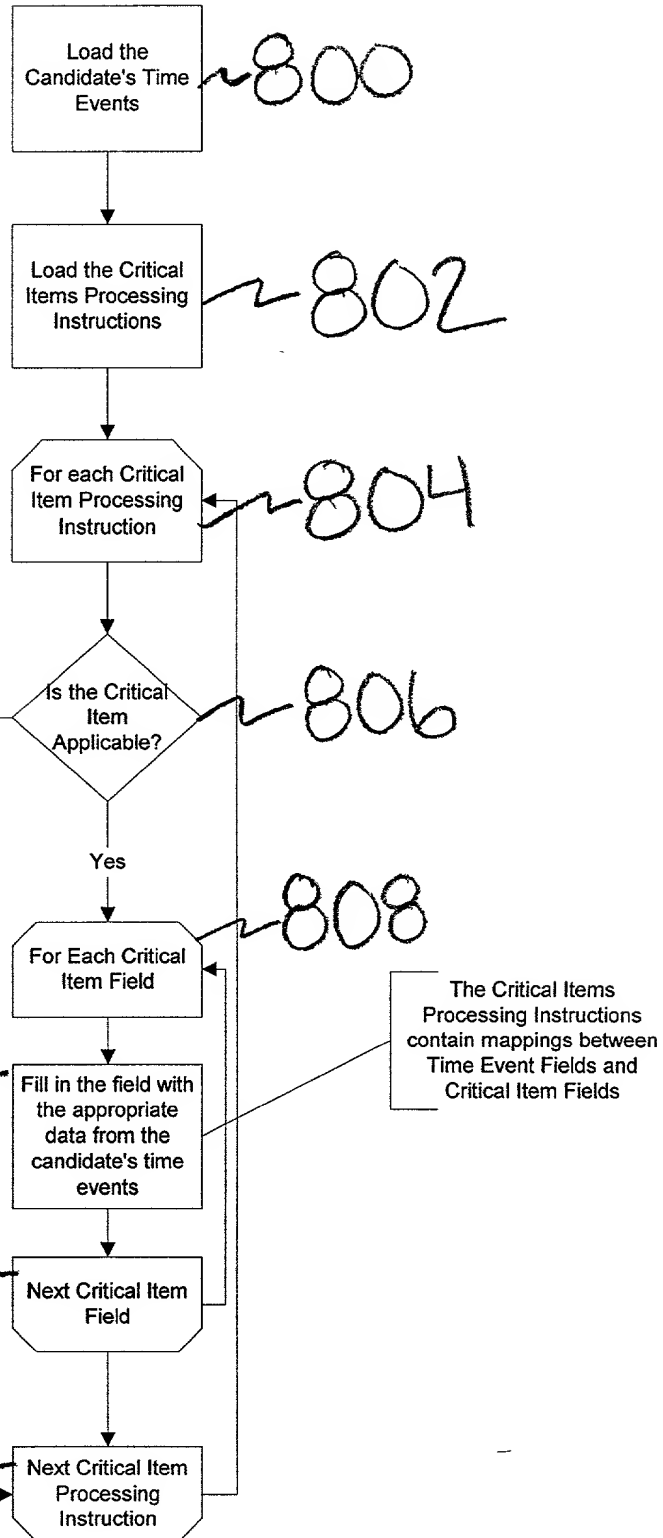
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Figure 17B



Figure 18

80



004780-0588550

## Critical Items for John Q. Doe

The following items have been directly linked through research to disciplinary action in law enforcement officers.

Name	Begin (Age)	End (Age)	Freq	Detail	Value
Minor Discipline Problems	902	904		Position 1 - Herman, Stokes, Calwell, and Bounce, Position 3 - Kinko's	2
Major Discipline Problems in 1 job			1 jobs	Position 2 - Anytown Police Department,	2
Terminated or resigned by mutual agreement once			1 times	Position 2 - Anytown Police Department,	2
Reduction in Rank			Once time (s)	USAR or ARNG	3
Has used Marijuana more than 30 times	9/1989 (Age 15)	3/1998 (Age 24)	More than 30 time(s)	Marijuana	2
Used Cocaine within 2 years (2 years)	9/1993 (Age 19)	6/1998 (Age 24)	1-5 time (s)	Cocaine	4
Failed to indicate last date of drug use Other Illegal Drugs			2 or 3 time (s)	Other Illegal Drugs	1
Used hard drugs as adolescent or cocaine before the age of 25 (at 24 years old)	6/1998 (Age 24)	6/1998 (Age 24)	2 or 3 time (s)		3
Drug use after graduating with a criminal justice degree or applying to a Law Enforcement Position	9/1993 (Age 19)	6/1998 (Age 24)		Cocaine	3
Denied employment because of background check	7/1997 (Age 23)	7/1997 (Age 23)		Applied to Nashville Police Department	2

**Total** **24**

## Other Negative Indicators for John Q. Doe

The items below are negative background indicators recommended for follow up by investigators.

Name	Begin (Age)	End (Age)	Freq	Detail
I was verbally counseled: (coworker)	9/1998 (Age 24)	9/1998 (Age 24)	2 times	Position 2 - Anytown Police Department
On Duty Motor Vehicle Accidents		10/1998 (Age 24)	1 incidents	Position 2 - Anytown Police Department
Letters of Reprimand		10/1998 (Age 24)	1 incidents	Position 2 - Anytown Police Department
Failed to provide 10 years of job history (4 years provided)	6/1996 (Age 22)	8/2000 (Age 26)	1 times	
Drug use within 120 days of first application to a law enforcement position		6/1998 (Age 24)		Marijuana, Cocaine

**Figure 19**

004720 0532E960

1000

Bio Data Summary for John Q. Doe

1002	Name	1004	Index	Risk Score	1006
Employment Index		1008	9	High	
Criminal Index		1010	0	Low	
Substance Index		1012	13	High	
Other Index		1014	2	Moderate	
Total			24	High	

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004780"05932950

Figure 20

RULES (37 C.F.R. 1.55)  
**DECLARATION FOR PATENT APPLICATION**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name, and I believe I am the original, first and sole inventor (if only one name listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **SYSTEM AND METHOD FOR ACQUIRING AND ANALYZING PERSONAL HISTORY INFORMATION** the specification of which (check applicable box(es)):

- ☒ is attached hereto.  
☐ was filed on \_\_\_\_\_ as U.S. Application Serial No. \_\_\_\_\_  
☐ was filed as PCT international application No. PCT/ \_\_\_\_\_ / \_\_\_\_\_ on \_\_\_\_\_ and (if applicable to U.S. or PCT application) was amended on \_\_\_\_\_

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with 37 C.F.R. 1.56(a). I hereby claim foreign priority benefits under 35 U.S.C. 119/365 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed or, if no priority is claimed, before the filing date of this application:

Prior Foreign Application(s): Application Number	Country	Day/Month/Year Filed
---	---------	----------------------

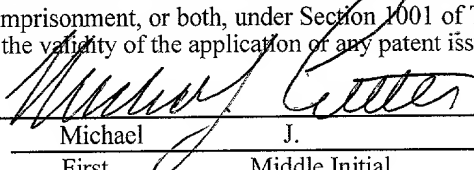
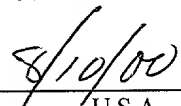
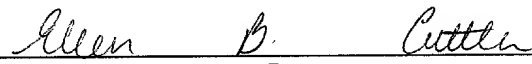
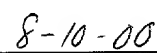
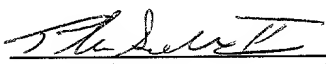
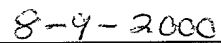
I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application listed below:

Prior Provisional Application(s): Application Serial No.	Day/Month/Year Filed
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I hereby claim the benefit under 35 U.S.C. 120/365 of all prior United States and PCT international applications listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in such prior application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose material information as defined in 37 C.F.R. 1.56(a) which occurred between the filing date of the prior applications and the national or PCT international filing date of this application:

Prior U.S./PCT Application(s): Application Serial No.	Date/Month/Year Filed	Status: patented, pending, abandoned
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

1) Inventor's Signature				Date	
Inventor's Name (typed)	Michael	J.	Cuttler	U.S.A.	
	First	Middle Initial	Family Name	Citizenship	
Residence (City)	4306 Dogwood Drive, Greensboro			State/Foreign Country)	N.C.
Post Office Address				Zip Code	27410
2) Inventor's Signature				Date	
Inventor's Name (typed)	Ellen	B.	Cuttler	U.S.A.	
	First	Middle Initial	Family Name	Citizenship	
Residence (City)	4306 Dogwood Drive, Greensboro			State/Foreign Country)	N.C.
Post Office Address				Zip Code	27410
3) Inventor's Signature				Date	
Inventor's Name (typed)	Thomas	A.	Seddon, II	U.S.A.	
	First	Middle Initial	Family Name	Citizenship	
Residence (City)	5601 Pelham Road, Durham			State/Foreign Country)	N.C.
Post Office Address				Zip Code	27713

**FOR ADDITIONAL INVENTORS, check box ☐ and attach sheet with same information and signature and date for each.**  
**Rhodes & Mason (4/98)**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Michael J. Cuttler, Ellen B. Cuttler and Thomas A. Seddon, II

For: **U/A SYSTEM AND METHOD FOR ACQUIRING AND ANALYZING PERSONAL HISTORY INFORMATION**

Filed concurrently herewith.

Serial Number to be assigned.

Director for Patents

Washington, D.C. 20231

POWER OF ATTORNEY

Sir:

The undersigned, assignee of the entire interest in and to an application of Michael J. Cuttler, Ellen B. Cuttler, and Thomas A. Seddon, II for U.S. Letters Patent for **SYSTEM AND METHOD FOR ACQUIRING AND ANALYZING PERSONAL HISTORY INFORMATION**, by an assignment document being recorded contemporaneously herewith, hereby appoints the firm of Rhodes & Mason, P.L.L.C., comprising C. Robert Rhodes, Reg. No. 24,200, Edward W. Rilee, Reg. No. 31,869, Howard A. MacCord, Jr., Reg. No. 28,639, Jack B. Hicks, Reg. No. 34,180, James L. Lester, Reg. No. 38,721, William J. Mason, Reg. No. 22,948, Gilbert J. Andia, Jr., Reg. No. 38,815, Jeffrey R. McFadden, Reg. No. P-46,916, Benjamin S. Withrow, Reg. No. 40,876, Amy H. Fix, Reg. No. 42,616, Stanislav Antolin, Reg. No. 34,979, and Lewis S. Rowell, Reg. No. 45,469, as my attorneys and/or agents with full power of substitution and revocation, to prosecute this application, to make alterations and amendments therein, to receive the patent, and to transact all business in the Patent and Trademark Office connected therewith.

Furthermore, in accordance with 37 CFR §3.73(b), the undersigned hereby states that the documentary evidence of a chain of title from the original owner to the assignee, i.e. assignment document referenced above, has been reviewed and the undersigned certifies that, to the best of assignee's knowledge and belief, title is in assignee who seeks to prosecute this application.

**PLEASE ADDRESS ALL COMMUNICATIONS AND TELEPHONE CALLS TO:**  
**RHODES & MASON, P.L.L.C., P. O. BOX 2974, GREENSBORO, NORTH CAROLINA**  
**27402, (336) 273-4422.**

**LAW ENFORCEMENT SERVICES, INC.**

BY: Ellen B. Cuttler  
Ellen B. Cuttler  
President

Date: 8-10-00

File No.: 4590-004

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